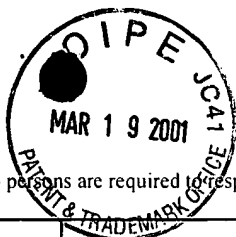


Please type a plus sign (+) inside this box [ + ]



PTO/SB/21 (12-97)

Approved for use through 9/30/00. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Sector

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/750804
	Filing Date	December 29, 2000
	First Named Inventor	Shiquan WU et al
	Group Art Number	2661
	Examiner's Name	To be assigned
Total Number of Pages in this Submission [ 2 ]	Attorney Docket Number	NTL-3.2.142/3516

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form (Duplicate)	<input checked="" type="checkbox"/> Assignment Papers <i>(for an application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached - Check	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input checked="" type="checkbox"/> Copy of PTO Notice to File Missing Parts (Part 2)
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Declaration & Power of Attorney	<input checked="" type="checkbox"/> Additional Enclosure(s) <i>(Please identify below):</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Return Receipt Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	[REMARKS]	
<input checked="" type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual Name	Robert J. Hess (USPTO Reg 32,139) COBRIN & GITTES
Signature	
Date	March 15, 2001

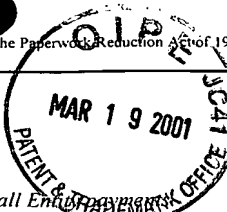
**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: [March 15, 2001]		
Typed or printed name	Rosemarie Medina	
Signature		[Date]: March 15, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

## FEE TRANSMITTAL for FY 2001

*Patent fees are subject to annual revision. Small Entity Filings must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.*



*Complete if Known*

<b>TOTAL AMOUNT OF PAYMENT</b> (\$ ) 1,408.00		Application Number		09/750804	
		Filing Date		December 29, 2000	
		First Named Inventor		Shiquan WU	
		Group Art Unit		2661	
		Examiner		Not yet assigned	
		Attorney Docket Number		NTL-3.2.142/3516	

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 03-2317

Deposit Account Name: COBRIN & GITTES

☐ Charge any additional fee required under 37 CFR 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check                      ☐ Money Order                      ☐ Other

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	(\$)	Code	(\$)		
105	130	205	65	Surcharge - Late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	Request for Reexamination	
112	920*	112	920*	Req. publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension within first month	
116	390	216	195	Extension within second month	
117	890	217	445	Extension within third month	
118	1,390	218	695	Extension within fourth month	
128	1,890	228	945	Extension within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,240	241	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submit Info. Disclosure Stmt	
581	40	581	40	Patent Assignment per property	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	(\$)	Code	(\$)		
101	710	201	355	Utility filing fee	\$ 710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>\$ 710</b>

**2. EXTRA CLAIM FEES**

			Extra Claim	Fee below	Fee Paid
Total Claims	36	-20 =	16	x	9 or 18
Indep. Claims	6	-3 =	3	x	40 or 80
Multiple Dependent				130	\$

*\*\* or number previously paid, if greater; for reissues, see below*

Large Entity		Small Entity		Fee Description	Fee Paid
Code	(\$)	Code	(\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>(\$528)</b>

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic filing fee Paid

**SUBTOTAL (3)**

170

**SUBMITTED BY**

Typed or Printed Name      Robert J. Hess

Signature

**Complete (if applicable)**

Registration Number      32,139

Date      March 15, 2001



Docket: NTL-3.2.142/3516

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

-----X  
Applicants : Shiquan WU et al  
Assignee : Nortel Networks Limited  
USSN : 09/750,804  
Filed : December 29, 2000  
Title : ADAPTIVE TIME ADVERSITY AND  
SPATIAL DIVERSITY FOR OFDM  
Art Unit : 2661  
Examiner : To be assigned.  
-----X

BOX MISSING PARTS - FEE  
Assistant Commissioner of Patents  
Washington, DC 20231

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

The following items are submitted herewith in completion of the above-identified patent application:

1. PTO Notice to File Missing Parts of Application (Part 2)
2. Response to Notice to File Missing Parts of Application
3. Declaration, petition and power of attorney.
4. Assignment for Recordal to Nortel Networks Limited.
5. Form PTO-1495 - Recordation Form Cover Sheet
6. Fee Calculation Sheet (in duplicate)
9. Transmittal Form
10. Check in the amount of \$ 1,408.00 [ X ] filing; [ X ] recording.
11. Acknowledgment Postcard

**MAILING CERTIFICATE**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First-class mail in an envelope addressed to: BOX MISSING PARTS, FEE, Commissioner of Patents & Trademarks, Washington, DC 20231 on the date indicated below:

Rosemarie Medina

Name

Rosemarie Medina

Signature

March 15, 2001

Date

1/  
Priority is claimed for this application, corresponding application/s having been filed as follows:

Country:	United States
Number:	Provisional Application No. 60/229,972
File Date:	01 September 2000

The Patent Office is authorized to charge any deficiency up to \$300.00 in the above fees, and to credit any excess, to our Deposit Account No. 03-2317.

Dated: March 15, 2001

Respectfully submitted,



---

Robert J. Hess  
Reg. No. 32,139  
Attorney for Applicant(s)  
COBRIN & GITTES  
750 Lexington Avenue - 21st Floor  
New York, NY 10022  
Tel: 212-486-4000  
Fax: 212-486-4007

Enclosures

G:\Apps\WPDATA\NORTEL\3516\MISSINGPTS-let.frm



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/750,804	12/29/2000	Shiquan Wu	NTL-3.2.142/3516

CONFIRMATION NO. 8286

## FORMALITIES LETTER



\*OC000000005753511\*

26784  
COBRIN & GITTES  
750 LEXINGTON AVENUE, 21ST FLOOR  
NEW YORK, NY 10022

Date Mailed: 02/12/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$528.
  - \$288 for 16 total claims over 20.
  - \$240 for 3 independent claims over 3.
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1368.

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/20/2001 14:44:01 00000021 09750804  
710.00 OP  
288.00 OP  
240.00 OP  
130.00 OP  
01 FC:101  
02 FC:103  
03 FC:102  
04 FC:105